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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>		Application Number 10/712,791
Total Number of Pages in This Submission		Filing Date November 12, 2003
		First Named Inventor Michael John Smithers
		Art Unit 2644
		Examiner Name
		Attorney Docket Number DOL118

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO-1449 (1 Sheet), 15 cited references, and return receipt postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Thomas A. Gallagher, Reg. No. 24,815
Signature	
Date	August 26, 2004

CERTIFICATE OF TRANSMISSION/MAILING

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Typed or printed name	Karen M. Strange		
Signature		Date	August 26, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Michael John Smithers, et al.

Serial No.: 10/712,791

Examiner:

Filing Date: November 12, 2003

Art Unit: 2644

Title: Frame-Based Audio
Transmission/Storage with
Overlap to Facilitate Smooth
Crossfading

Conf. No.

August 26, 2004
San Francisco, California

Commissioner of Patents
P.O. Box 1450
Alexandra, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to the duty of disclosure set forth in 37 CFR § 1.56, Applicants respectfully submit the following information disclosure statement.

The disclosed references are:

1. US Patent No. 3,872,503, issued March 18, 1975, Shutterly, Harold B., filed January 23, 1974.
2. US Patent No. 4,555,737, issued November 26, 1985, Heitmann, Jürgen, filed September 7, 1983.
3. US Patent No. 4,717,972, issued January 5, 1988, Heitmann, Jürgen, filed June 25, 1985.
4. US Patent No. 4,961,116, issued October 2, 1990, Kanamaru, Hitoshi, et al., filed November 19, 1987.
5. US Patent No. 5,109,417, issued April 28, 1992, Fielder, Louis D., filed December 29, 1989.

Information Disclosure Statement Serial No. 10/712,791

6. US Patent No. 5,140,473, issued, August 18, 1992, Murakami, Yoshihiro, filed November 20, 1989.
7. US Patent No. 5,208,678, issued May 4, 1993, Nakagawa, Yukio, filed September 6, 1991.
8. US Patent No. 5,903,872, issued May 11, 1999, Fielder, Louis Dunn, filed October 17, 1997.
9. US Patent No. 5,913,190, issued June 15, 1999, Fielder, Louis Dunn, filed October 17, 1997.
10. US patent No. 5,913,191, issued June 15, 1999, Fielder, Louis Dunn, filed October 17, 1997.
11. US Patent No. 6,124,895, issued September 26, 2000, Fielder, Louis Dunn, filed October 17, 1997.
12. Watatani, Yoshizumi, et al., "The FM Audio Signal Recording System for 8mm Video," IEEE Transactions on Consumer Electronics, Vol. CE-30, No. 4., pp 592-597, November 1984.
13. Fielder, Louis D., et al., "Professional Audio Coder Optimized for Use with Video," presented at the 107th Convention, September 24-27, 1999, Audio Engineering Society Preprint, 5033 (K-1)
14. Lyman, Stephen, "Understanding Dolby E," Broadcast Engineering September 1999, pp 1-6.
15. Smithers, Michael J., et al., "Ultra High Quality, Video Frame Synchronous Audio Coding," presented at the 114th Convention March 22-25, 2003, Audio Engineering Society Convention Paper 5853, pp 1-14.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 CFR §1.97(g)), admission that the information cited is, or is considered to be material to patentability, or that no other material information exists.

The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Information Disclosure Statement Serial No. 10/712,791

Applicants respectfully request that the Examiner initial the cited references on the enclosed form PTO-1449 and that it be made of record in the application and that a copy of the initialed form be sent to applicants with the next communication from the Examiner.

Respectfully submitted,



Thomas A. Gallagher

Reg. No. 24,815

601 California St., Suite 1111
San Francisco, CA 94108-2805

Telephone: (415) 989-8080

Facsimile: (415) 989-0910

Enc. Transmittal Form

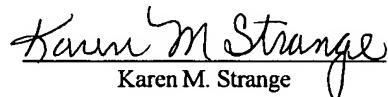
PTO-1449 (1 Sheet)

Copy of Cited References (15)

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Karen M. Strange

Form PTO-1449

INFORMATION DISCLOSURE STATEMENT



AUG 30 2004

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

DOCKET

DOL118

S.N.

10/712,791

APPLICANT

Michael John Smithers, et al.

FILING DATE

November 12, 2003

GROUP

2644

U.S. PATENT DOCUMENTS

*Exam. Initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
		3 8 7 2 5 0 3	3/18/75	Shutterly, Harold B.			
		4 5 5 5 7 3 7	11/26/85	Heitmann, Jürgen			
		4 7 1 7 9 7 2	1/5/88	Heitmann, Jürgen			
		4 9 6 1 1 1 6	10/2/90	Kanamaru, Hitoshi, et al			
		5 1 0 9 4 1 7	4/28/92	Fielder, et al			
		5 1 4 0 4 7 3	8/18/92	Murakami, Yoshihiro			
		5 2 0 8 6 7 8	5/4/93	Nakagawa, Yukio			
		5 9 0 3 8 7 2	5/11/99	Fielder, Louis Dunn			
		5 9 1 3 1 9 0	6/15/99	Fielder, Louis Dunn			
		5 9 1 3 1 9 1	6/15/99	Fielder, Louis Dunn			
		6 1 2 4 8 9 5	9/26/00	Fielder, Louis Dunn			

FOREIGN PATENT DOCUMENTS

*Exam. Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

	1	Watatani, Yoshizumi, et al., "The FM Audio Signal Recording System for 8mm Video," IEEE Transactions on Consumer Electronics, Vol. CE-30, No. 4, November 1984, pp 592-597.
	2	Fielder, Louis D., et al., "Professional Audio Coder Optimized for Use with Video," presented at the 107 th Convention September 24-27, 1999, Audio Engineering Society Preprint, 5033 (K-1).
	3	Lyman, Stephen, "Understanding Dolby E," Broadcast Engineering September 1999, pp 1-6.
	4	Smithers, Michael J., et al., "Ultra High Quality, Video Frame Synchronous Audio Coding," presented at the 114 th Convention March 22-25, 2003, Audio Engineering Society, Convention Paper 5853, pp 1-14.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP; draw line through citation if not in conformance and not considered. Include copy of this form with next communication with applicant.